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Next 5 Page(s) In Document Exempt

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Records Management Program

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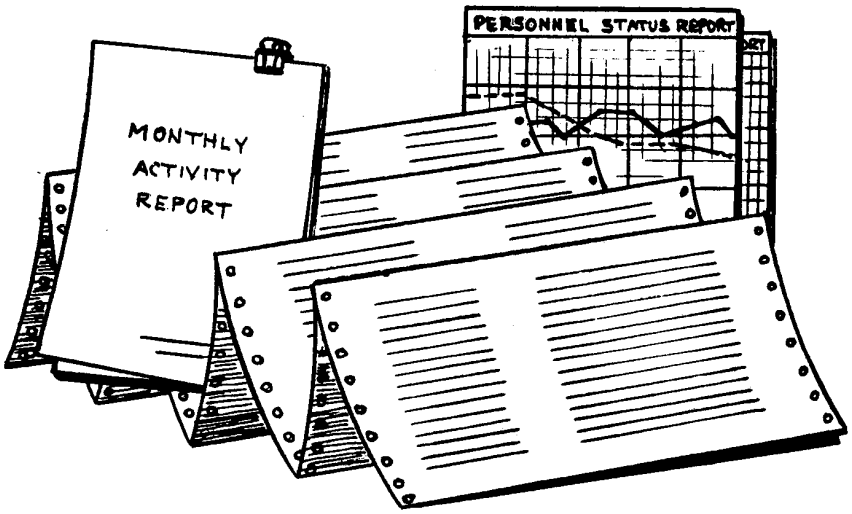
Handbook

Reports Management



FEWER REPORTS - BETTER REPORTS - AT LESS COST

Management Staff
May 1957

Same Color etc as Subject Folder
Punched For 3 Ring Binder

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1. Cover - See sample & Develope something Illustrative
Also are there any places where we can add a graphic
2. Foreword - Summarize the handbook -
Transmittal of something to transmit
handbook to audience - (ARO's; DDI etc)
and to authors:
   a. what this is - guide line, modular
   b. reference to regulations
   c. (why not pick up items 3 on page 15)

3. Page i (Contents) and each succeeding page
should carry this heading reading from
left to right -
Handbook 43-100-1 Reports Management May 1957

4. Page 3 - 3b. line 4, should ad hoc be in quotes?

5. Page 4 - d - omit "Except - - - Appendix A". Reason -
I think Appendix A should be eliminated
because it does not contribute anything and
may be confusing.

6. Page 8 (2) The first sentence should
probably be eliminated because it
duplicates the last line in page 7.

7. Page 8, 3a - Consider eliminating everything after
the first sentence because and refer to a
multiple [illegible] Appendix

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8. Page 9 (1) Recommend deleting the second sentence "The latter is preferred" and the following two sentences ending with "review".

~~(3) How analyzed?~~

9. Page 10 - line one - insert "in" after guide -

~~1. Subject Numeric File of Case Folders - Consider changing their to "Established Case Folders"~~

10. Page 11 to line 3 insert Handbook Number -

11. Page 13 see suggested revision

12 Page 14 " " "

13. Page 15 (3) omit

14. Page 16 - reduce extent

15. Page 17 E 1 line 2 "unexpectantly"

16 Page 17 (2) This appears to duplicate page 6 "h"

17. Page ~~14~~ 32 & 33 - What is the intent of these 2 pages?

18 Omit Appendix A

19 " " For comments see memorandum

* An introductory sentence is suggested as follows:
The following program records are suggested:
1. 3
2. 4

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REPORTS MANAGEMENT
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INSTALLING AND OPERATING A REPORTS MANAGEMENT PROGRAM

Section A. GENERAL

1. Purpose

Reports are essential to the sound management of this Agency. Reports are also costly since they make up a large part of our administrative workload. For these reasons we must assure that:

a. Reports provide adequate, accurate and timely data for the purposes required.

b. Reporting workloads are minimized and restricted to the capabilities of preparing and using components; and that peakloads and overtime are avoided.

c. Only essential reports are established or continued.

d. Reports are appropriate to the missions of using components; and that preparing components are the best sources of the data.

e. Reporting procedures and systems are simple and orderly.

f. Instructions, definitions, and forms are clear and complete.

g. Existing sources of information are publicized and utilized.

These objectives can be realized from a systematic analysis of reporting requirements, when they are first proposed and periodically thereafter. This handbook therefore furnishes guidance for these analyses and outlines the mechanism for a headquarters-wide Reports Management Program. It thus provides Chiefs of Major Components and Operating Officials with guide lines to implement that requirement of the Agency Records Management regulation pertaining to: "Reports Management--The analyses, improvement, and control of administrative reporting."

2. Definitions

a. Report An account or statement of information in written narrative, tabular, punch card, or graphic form, transmitted from one

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organizational element to another in response to an expressed or assumed need for information.

(1) Administrative or Management Report. A report that provides for administrative or management control over an activity or operation, as distinguished from an operational or intelligence report.

(2) Recurring Report. A report for which there is a standing requirement for its submission. It may be either a periodic report which conveys essentially the same type of information at prescribed intervals (daily, weekly, monthly, etc.), or a situation report which is prepared on each occurrence of an event of certain prescribed characteristics (e.g., report of an accident).

(3) One-Time Report. A special report required one time only. A new directive must be issued each time such a report is required.

(4) Feeder Report. A report which supplies data needed to prepare another report.

(5) Voluntary Report. A report submitted voluntarily to fill an assumed or known need for information.

(6) Internal Report. A report submitted solely within an Operating Office.

(7) External Report. A report required from, or prepared for, any component outside the organizational structure of an Operating Office.

(8) Required Report (Incoming Report). A report which a component requires from one or more elements. The report is an incoming report to the office which requires it.

(9) Prepared Report (Outgoing Report). A report which a component prepares at the request of another element. The report is an outgoing report from the office which prepares it.

b. Area Reports Management Program. A program covering an Operating Office.

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c. Reports Management Officer. An official responsible for an area reports management program.

d. Management Advisor for Reports. An official who, under the direction of a Deputy Director, is responsible for coordinating the activity of respective area programs.

e. Report Directive. The written requirement and instructions for making a report.

f. Requiring Component. The component which initiates the requirement for a report. This definition also includes those components which prepare voluntary reports.

g. Reports Control Symbol. An identifying symbol assigned to an approved requirement for a report. See Section D, paragraph 3 for the composition and assignment of reports control symbols.

3. Program Administration and Scope

a. The Agency Reports Management Program is operated on a modified decentralized basis. That is, it is composed of area programs administered by Reports Management Officers who are responsible for controlling and improving internal reports, and for coordinating requirements for external reports with their Management Advisor for Reports. Under this concept area programs can be tailored to meet the specific needs of Operating Offices, and top-level support and guidance is furnished: (1) To control and improve external reports, and (2) to integrate area programs by common standards and objectives.

b. This concept also avoids placing upon one person the responsibility for approving or disapproving reporting requirements. It encourages, instead, action by a Reports Review Panel composed on an ad hoc basis of a representative from each component affected by a reporting requirement. For example, a Management Advisor for Reports and his respective Reports Management Officers can comprise a panel to resolve reporting problems of mutual concern to all components under a Deputy Director. Similarly, the Management Advisors for Reports representing the Major Components

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automatically constitute a panel for the review of headquarters-wide reporting requirements. If appropriate, a panel also could be established at the Operating Office level. The Reports Management Officer and a representative from each division or staff would comprise such a panel. Appendix E is a chart on the organization of Reports Review Panels.

c. Sections B through G furnish basic guidance for installing and operating area programs. Adaptations or modifications of these guide lines are encouraged to meet the particular needs of Operating Offices. However, any digressions must fulfill the requirements of the Agency regulation on Records Management and Section A of this Handbook.

d. Except for the types of documents listed in Appendix A, each area program shall cover all recurring administrative or management reports:

(1) Submitted within an Operating Office between staffs or divisions.

(2) Received from or submitted to other headquarters components, domestic or overseas field installations, and organizations, Federal or private, outside the Agency.

Emphasis is thus placed on managing all recurring reports, whether prepared voluntarily, upon request, or by direction. However, this does not preclude controlling requirements for one-time reports, if by such action nonessential or inadequate reporting can be prevented. In addition, controls over internal reports, submitted across organizational lines below the division or staff level should be established if considered necessary.

4. Policies

a. Report Directives. Requirements for reports and rescissions thereof shall be stated clearly and completely in writing.

b. Essentiality. Reports shall be required only to collect essential information, as distinct from that which is merely interesting or informative.

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c. Duration and Frequency. Reporting requirements shall be continued only as long and submitted only as frequently as circumstances dictate.

d. Consolidation. Related reports in the same subject matter area shall be consolidated wherever possible.

e. Summarization. Reports shall be summary in nature insofar as practicable, and devoid of unnecessary detail.

f. Economical Procedures. Reporting procedures shall be as simple and direct as possible. Existing basic records shall be employed as sources to the fullest extent. Methods of preparing and transmitting reports shall be the most economical consistent with the end use of the required information. Reports that are self identifying shall be forwarded without transmittal correspondence.

g. Creation Control

(1) Each proposal to establish or revise an external report shall be coordinated with a Management Advisor for Reports. Each proposal to establish or revise an internal report to be submitted between staffs or divisions shall be cleared through the Operating Office Reports Management Officer.

(2) Each approved requirement for a recurring report shall be assigned a reports control symbol. Reports exempted from control shall be so identified. Reports control symbols or exemption statements shall be cited in report directives and in reports submitted accordingly. Personnel receiving a report directive which does not cite either a reports control symbol or an exemption clause shall so inform their Reports Management Officer and defer complying with the directive until notified that the reporting requirement has been approved by appropriate authority.

(3) Existing sources of information shall be publicized through published lists of current requirements for recurring reports.

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h. Reappraisals. Reporting requirements in existence at the time an area program is established shall be reappraised at least annually thereafter. Subsequent new or revised reporting requirements shall be reappraised initially within three to six months after submission of the first report and annually thereafter.

5. Responsibilities

a. Deputy Directors are responsible for:

(1) Establishing, directing, and maintaining Reports Management Programs for their respective components.

(2) Designating a Management Advisor for Reports.

b. Management Advisors for Reports are responsible for:

(1) Directing and coordinating Operating Office reports management programs by providing staff guidance and basic plans, policies and procedures.

(2) Coordinating the review of requirements for external reports and assigning reports control symbols to those approved.

(3) Conducting studies and reappraisals of, maintaining records on, and publishing lists of requirements for external reports.

(4) Serving as chairmen of Reports Review Panels of Major Components.

c. Operating Office Reports Management Officers are responsible for:

(1) Coordinating the review of requirements for internal reports and assigning reports control symbols to those approved.

(2) Coordinating requirements for external reports with their Management Advisors for Reports.

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(3) Conducting studies and reappraisals of, maintaining records on, and publishing lists of requirements for internal reports.

(4) Serving as voting members on Reports Review Panels of Major Components and as Chairmen of Operating Office Reports Review Panels.

Section B. PLANNING, PROMOTING AND INSTALLING THE PROGRAM

1. Planning the Program

a. Reports Management is simply applying the logic: If the information isn't needed, don't ask for it; if a report is necessary, assure that only essential data is required, and that it is compiled and submitted by the simplest and most direct means. But significant results cannot be gained by hit or miss tactics. A planned continuing program of analysis is necessary.

b. Reports that are interrelated should be studied together. Some are alike according to the functions they serve or the subjects they cover. Others, called "feeder reports" are only small segments of a reporting network which furnishes top management with a single document of summarized information. The relationship of these "feeders" to the end product should also be considered. In addition, report problems often reveal other management problems. Facts obtained in analyzing reports can be used in other paperwork management activities and in management areas such as procedure control and organization planning. These factors thus emphasize the need to consider the following points in planning the program.

(1) Organizing for Reports Management - Paragraph 3 of Section A outlines a concept for the ultimate in a reports management organization. Obviously, the volume of administrative reports will govern to what extent the program should

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be organized on this basis. But regardless, plans should ensure coverage of the full range of reports activity from top to bottom of an organization. In addition, provision should be made for appraisals of both prepared (outgoing) and required (incoming) reports.

(2) Placing Responsibility for the Program - Reports management activity should be conducted on an equal basis with other management services. Those responsible for reports management should have direct access to officials who are authorized to make decisions on reports. If at all possible the reports management function should be placed in the organizational unit responsible for other management work.

2. Promoting the Program - Reports management cannot thrive except in a climate where there is a desire for the program. This climate should be established in advance of announcing the program. Ensure that everyone who will be affected by the program understands and appreciates its objectives. Personal contacts are the most effective means of building good working relationships. Staff meetings with graphic presentations are particularly appropriate at this point to sell key officials on the program. Representatives of organizations having well established reports management programs should be asked to take part in these presentations. Management Staff personnel are also available for assistance.

3. Installing the Program

a. Issuing Directives - Equally important as planning and promoting the program is issuing a good program directive. This is top management's best opportunity to indicate its support of the program to all in the organization. The directive should define terms, state the scope and objectives of the program, place responsibility for its administration, request or announce appointments of those who will take part in the program, outline steps for the installation phase, and state procedures to continue the program. This last statement can be very brief if a more detailed directive on continuing the program is to be issued later. This practice is recommended to keep the initial directive as brief as possible, and related mainly to the installation phase. Samples of both types of directives can be obtained from the Management Staff.

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b. Initial Survey of Reporting Requirements

(1) Purpose - The initial reports survey is an essential step in installing the program. It provides the foundation, that is: (a) A complete description and case history of each reporting requirement (the inventory), and (b) an analysis of this inventory to point up reporting deficiencies and ways to correct them. Also, the survey furnishes experience on which to base policies and procedures for continuing the program. The importance of the survey thus dictates that persons selected to take part in it should have a broad knowledge of their component's reporting requirements and be qualified to analyze them objectively.

(2) The Inventory - Requirements for reports may be inventoried either by listing them or by describing each one separately on a survey form. The latter is preferred. A form provides headings and instructions to guide the individual and furnishes more space for descriptions and comments. An inventory compiled on separate forms is easily analyzed also, for the individual survey sheets can be sorted according to functions, subjects, reporting frequencies, organizations, etc., or can be divided among different individuals for review. Form No. 521, Reports Survey (Appendix C) is recommended for the inventory. Using this form, inventorying personnel should take the following action on each existing requirement for either a required or prepared report:

(a) Prepare the number of copies desired of Form No. 521.

(b) To the original of each survey form attach a copy of each directive having a bearing on the report, a specimen copy of the report, and any other descriptive material. It should not be necessary to furnish copies of directives issued as Agency or component regulatory material.

(3) The Analysis - Each reporting requirement should be analyzed when inventoried. The need for required reports should be fully justified. Prepared reports should be examined with a view to improving preparation procedures, and recommending to requiring offices ways to reduce or simplify reporting.

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Form No. 521, Report Survey, contains questions to guide the analyzing reports. Guidance in more detail may be found in Section E, paragraph 4.

(4) Review of Survey Material - Completed Report Survey forms together with all recommendations and supporting material should be forwarded through administrative channels to the Operating Office Reports Management Officer. All material collected should be reviewed by the Reports Management Officer to determine if recommendations can be applied immediately or whether further studies are necessary. Recommendations and plans for future studies should be referred to the Operating Official or his Reports Review Panel. All material and recommendations on external reports should be referred to the components Management Advisor for Reports.

Section C. REPORTS MANAGEMENT PROGRAM RECORDS

1. Subject-Numeric File of Case Folders

a. Material collected during the installation phase of the program will provide a basis for establishing a case folder on each reporting requirement. Thereafter these files should be kept current or closed out as changes or cancellations occur. A case folder should furnish the complete history of a report and its current status. Each folder should contain the following in the order indicated:

(1) Form No. 142, Request for Approval of a New or Revised Reporting Requirement (Appendix B), or Form No. 521, Report Survey (Appendix C).

(2) A specimen copy of the report (if available) or a sample of the report form.

(3) A copy of each directive having a bearing on the report, and if available, instructions for its preparation.

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(4) Memorandums, staff studies, surveys, data on source records and procedures, and other material pertaining to the report.

b. The label of each folder should contain the title of the report, its reports control symbol, and a subject-numeric file index taken from the Agency Handbook for Subject Filing. Titles should be stated with a key word first so that a folder may be readily identified. For example, "Monthly Report of Per Diem Allowances" would be stated "Per Diem Allowances; Monthly Report of." A completed folder label would appear as follows:

ACCOUNTING 2-1 PER DIEM	PER DIEM ALLOWANCES; MONTHLY REPORT OF (COMP-Rep-1)

Different colored labels should be used for prepared and required reports. The Handbook for Subject Filing, gives further information on the arrangement of a subject-numeric file.

2. Reports Reference Card, Form No. 855 (Appendix D). This card serves two main purposes. It provides an alphabetical cross reference to reporting requirements according to their titles, and serves as the basis for preparing lists of approved reports. Additional information other than that provided for by the headings may be kept on these cards. However, extensive posting to them is discouraged since case folders should fully document each reporting requirement. It is suggested that separate card files be set up for external and internal reports, and that the cards for external reports be further separated according to prepared and required reports.

3. Follow-up File. The continuing effectiveness of a reports management program depends largely on a periodic reappraisal of each reporting requirement. To schedule these reviews, reports management personnel should maintain a follow-up card on each report.

5" x 8" or 3" x 5" cards in a vertical file are recommended. Each card should bear the scheduled reappraisal date, the title of the report, its reports control symbol, and the subject-numeric file index

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of the report. The card file should be indexed by month, and within each monthly breakdown arranged according to the reappraisal date. Cards for a current month may be separated by daily guides numbered from 1 through 31 if the number of reports justifies this arrangement.

4. Reports Control Symbol Index. An index is needed to ensure assignment of reports control symbols in the correct sequence. The index also serves as a cross reference by symbol number. A vertical file of 5" x 8" or 3" x 5" cards is recommended. Each card should show the reports control symbol, the title of the report, its subject-numeric file index, and the date the reports control symbol was assigned.

5. Accomplishment Records. To be in a position to report accomplishments and to develop program publicity, Operating Office Reports Management Officers should draft briefs on major accomplishments, and on projects and surveys being undertaken. Also a record of the following actions should be maintained:

   a. The number of requests for approval of a new or revised reporting requirement:

      (1) Reviewed and approved (internal reports).

      (2) Reviewed, approved, and submitted to the Management Advisor for Reports (external reports).

      (3) Disapproved (internal or external reports).

   b. The number of internal reports revised to improve reporting systems or to reduce paperwork.

   c. The number of requirements for internal reports cancelled.

   d. The number of report directives developed or revised.

   e. The number of reappraisals of reporting requirements initiated.

   f. The current reports inventory by:

      (1) Internal feeder reports.

      (2) Internal reports (other than feeder).

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g. Savings (in man hours per year) accruing from Reports Management activity.

h. Man hours expended on the program.

Management Advisors for Reports should maintain records similar to the above on external reports.

Section D. REVIEW AND APPROVAL OF PROPOSALS FOR NEW OR REVISED REPORTING REQUIREMENTS

1. Submission of Requests for Approval. All proposals to establish or revise a reporting requirement should be submitted to the Operating Office Reports Management Officer. Originators should forward the following material:

a. An original and one copy of Form No. 142, Request for Approval of a New or Revised Reporting Requirement (Appendix B).

b. An original and one copy (in draft form) of the proposed report directive, and all forms, instructions, and procedures, proposed to be issued.

c. Any additional supporting material that will assist the reports Review Panel and approving officials with their review.

If the proposal concerns an external report, the Records Management Officer should place his recommendations on a copy of the Form No. 142 submitted to him, and forward it with a copy of all supporting material to his Management Advisor for Reports.

2. Review of Requests for Approval.

a. Purpose. The axiom, "An ounce of prevention is worth a pound of cure" points up the value of a thorough review of each reporting requirement when first proposed. It is then, rather, than after the requirement is established, that improvements can

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be made with minimum effort and maximum savings. Often there is less resistance to change at the proposal stage. Reports Management Officers will also find this an opportune time to overcome any "rubber stamp control" misconceptions by demonstrating the benefits of reports management.

b. Determining the Need. The first step in reviewing a new requirement is to establish the need for and the use of the proposed report. If the requirement does not meet all criteria listed, it should be disapproved without further consideration. If considered essential, the report should

(1) be commensurate with functional authority and the intent of delegations of authority.

(2) be timely and useful.

(3) Not duplicate other reporting requirements.

(4) satisfy a valid need of those who will review and evaluate its contents.

(5) be worth its total cost. (See Section E, paragraph 4 g.)

c. Detailed Analysis. If need for the proposed requirement is confirmed, it should then be analyzed in detail as described in Section E, paragraph 4. Assure that the following essentials answer the need for the report:

(1) Realistic reporting frequency.

(2) Practical due date.

(3) Efficient format.

(4) Clear and complete written directive.

(5) Realistic requirements for copies.

(6) Economical and efficient preparation and submission procedures.

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If the report, or any part of the report, is found to be unsatisfactory, the Reports Management Officer should make positive suggestions for changes before the request is approved. Any suggestions should recommend similar changes in the proposed requiring directive.

d. Analysis Aids

(1) Subject-Numeric File of Case Folders. This file should be referred to first in your analysis. It will disclose whether the report being reviewed duplicates or is related to other reports prepared or required by your component.

(2) Interviews and Observations. The Reports Management Officer should not draw conclusions without discussing the proposal with its originator and investigating how the report will be used. Questions such as: "What created the need for this report?"—"What would be the consequences if you couldn't be supplied the information?"—"How will the information be used?"—"What records will be maintained from the information you will receive?" will draw out justifications for the report as well as additional ideas for its improvement.

Personnel in offices where the report will be prepared should also be interviewed if possible. Discussions and observations at this level will often point up improvements or preparation problems overlooked by the originator of the proposal. Furthermore, soliciting the views of those who will be responsible for preparing the report will encourage a cooperative response to the requirement.

(3) Staff Guidance. Assistance on reports management matters is furnished by the Records Management Officer for Reports, Management Staff. Advice on other management techniques applicable to analyzing reporting requirements can be obtained also from the Management Staff.

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3. Assigning Reports Control Symbols

a. Purpose. In accordance with Agency policy, each approved reporting requirement shall be assigned a reports control symbol. The symbol identifies a requirement and indicates to activities or offices which are to prepare the report that the requirement has been approved by appropriate authority.

b. Composing a Reports Control Symbol

(1) A reports control symbol is composed of a prefix to denote the level at which the reporting requirement was reviewed and assigned a symbol, the abbreviation "Rep" for report, and the numerical designation of the reporting requirement. Hence, a reports control symbol assigned to an external report might appear as, S-Rep-1. In this case the "S" would stand for the Management Advisor for Reports (Support), and the number "1" would signify that this reporting requirement was the first one to which he had assigned a symbol. Subsequent reporting requirements assigned symbols by him would bear numerical designations in consecutive order, e.g., S-Rep-2, S-Rep-3, etc.

(2) An internal feeder report should bear the same symbol as that assigned to the basic requirement by a Management Advisor for Reports, except the organizational designation of the subordinate component collecting the data should also be included in the symbol prefix, e.g. S-OL-Rep-1. Symbols for all other internal reports should be in a separate series for each Reports Management Officer. The prefix should be the organizational designation of the Reports Management Officer. Numerical designations should be assigned in consecutive order as reporting requirements are approved, e.g., OL-Rep-1, OL-Rep-2, etc.

c. Where to Put the Reports Control Symbol

(1) In Directives, Handbooks and Correspondence - The symbol, preceded by the words "Reports Control Symbol," should appear in parentheses immediately following the first statement of the report title.

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(2) On Report Forms - The symbol should appear on each new recurring report form and on each existing recurring report form when it is reprinted.

4. Notification of Action Taken on Requests for Approval. Upon completing his review of a request, the Reports Management Officer should record the decision of the approving official and the reports control symbol, if appropriate) on the original and copy of Form No. 142. The copy of Form No. 142, the proposed directive, and any supporting material should be returned to the originator. The originals of the material submitted by the originator can become part of the Reports Management Officer's records.

5. Transmitting Copies of Report Directives. Immediately upon issuing a directive which initiates, revises, or rescinds a reporting requirement, the originator should forward a copy of the directive to the Reports Management Officer of his component. A copy of all new directives having a bearing on external reports should also be furnished the Management Adviser for Reports by the appropriate Reports Management Officer.

Section E. SCHEDULING AND CONDUCTING REAPPRAISALS OF REPORTS

1. Purpose. Programs about which information is reported may accelerate or decelerate unexpectantly. Changes in organizations and functions may occur. New forces or trends may come into bearing. These changing conditions must be met promptly by changes in reporting requirements.

2. Scheduling Reappraisals.

a. It is difficult to state specifically how frequently reappraisals should be scheduled. However, as a minimum:

(1) Each new or revised report should be reappraised within from three to six months after submission of the first report and each year thereafter.

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(2) Each existing report should be reviewed annually.

b. Reports management personnel are responsible for maintaining follow-up files (Section C, paragraph 3) to ensure that re-appraisals are undertaken according to an effective schedule. In scheduling these reviews they should consider:

(1) The need for a re-evaluation based on changes in conditions.

(2) The desirability of appraising reports according to functional areas, subject groups, or organizational areas.

(3) The desirability of staggering reviews throughout the year to distribute the workload evenly.

c. It is emphasized that prepared as well as required reports should be scheduled for review. Although Reports Management Officer has no direct control over most reporting requirements for external reports imposed on his component, he is not restricted from submitting recommendations to requiring offices. Indeed, he is in the most favorable position to recognize potential improvements that will affect both his component and the requiring office. Also, he should not overlook the need for periodically reviewing the forms, records and procedures used in preparing reports.

3. Initiating Reappraisals.

a. Two methods of initiating reappraisals are open to reports management personnel--personal contact and submitting a questionnaire. The former method is preferred. Personal contact conveys a feeling of sincere interest, encourages the exchange of ideas, makes possible observations of how the report is processed or used, and ensures collection of complete data.

b. Certain circumstances may prevent initiating a reappraisal by an interview. However, the survey should not be delayed, for the success of a reappraisal program depends on the timeliness

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of reviews. As a substitute for the initial interview, Form No. 521, Report Survey, may be sent to the office responsible for the report, for completion and return. Appendix G is a sample form memorandum for submitting Form No. 521 to a component. It is emphasized the use of Form No. 521 to initiate a reappraisal should be considered an interim measure. The Reports Management Officer will still find it desirable to discuss the report with those concerned with its submission and use, and to conduct a detailed analysis.

4. Detailed Analysis.

a. Analysis by Type. A detailed analysis of each report may be made in any one of the following ways as determined by reappraisal schedules:

(1) By Subject - Analyze all of the reports under one subject classification as a group, taking one group at a time. First, obtain copies of the source records and related forms used for each report in the area studied.

(2) By Organizational Unit - Study all of the reports required or prepared by each organizational unit of the component.

(3) By Individual Report - Analyze each report by itself. Consider the need for each item, the frequency of submission, the methods used to prepare the report, and the way in which information is organized and presented. One report can be profitably analyzed by itself when it does not duplicate other reports nor tie in with a reporting system.

b. Determining the Basic Need for a Report - Is there a sound need for the report as a whole? Consider answers to these questions in making your decision:

(1) Is the information appropriate to the assigned functions, responsibilities, or authority of the component requiring it?

(2) Does the report serve a purpose which could be accomplished some other way, such as through direct supervision or inspection?

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(3) Does the need for the report stem from an organizational or procedural problem which should be corrected rather than reported?

(4) Can the requiring office obtain the same information from another source or in a different format or manner, e.g., a copy of another report, a machine tabulation from punched cards maintained for another component, or copies of operating documents?

(5) Is the information reported actually and actively used as a basis for actions, plans, or decisions, and do these uses fully justify the cost required to prepare the report? Or asked another way--is full use being made of the information, or is it being gathered because "it's nice to know," or because some day there may be a use for it?

c. Determining the Need for Each Report Item. Reported items should be as few as necessary. Each item should have a definite use, either with respect to immediate objectives or definitely anticipated needs. Each item should be used currently by the recipient of the report. The analyst may be able to take necessary items from one report and add them to another, thus making fewer reports. The fewer the reports, the simpler the controls will be. The analyst can materially assist in eliminating conflicts by obtaining a uniform definition of items so that the possibility of misinterpretation is reduced to a minimum. The analysis of each report requires a study of all related information available. In making such analyses, the analyst should:

(1) Obtain related reports from the case files. Analyze all related reports item by item, entering such items on the worksheet illustrated in Appendix F. Point up areas of duplication and make recommendations for consolidating the reports.

(2) Determine the need for each item by obtaining accurate answers to the following questions:

(a) Is each item under the jurisdiction of the requiring office?

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(b) Is each item required for an established objective? Why?

(c) Could the information in any item be obtained from any other source? In some other manner?

(d) Is the item as stated capable of misinterpretation? Could it be stated more simply?

(e) Can the information be used for other purposes (other than the established objective)? Are there other potential users of the information?

(f) If activities or offices repeatedly have nothing to report, is the report still necessary? If the report is still necessary, should the activities be required to submit a 'negative' report, or submit no report at all? If a negative report must be received, can a single statement, 'This is a negative report," be placed on the report form and submitted on the due date, in lieu of completing every item on the periodic report?

(g) Are memorandums of transmittal being used unnecessarily? The report form itself should be designed to include all necessary mailing and routing information without requiring transmittal correspondence.

d. Determining the Proper Level and Flow in the Reporting Pattern

(1) The reporting pattern is the established path alongwhich information flows through an organizational unit. The reporting pattern should follow the pattern of organisation and command, with information being summarised at various points where decisions are made or where responsibility is placed.

(2) An analysis of the reporting pattern may point out defects in the pattern of organization or in the operations of individuals, which should be referred to proper authorities for action. The reporting of detailed information to the

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very top level in an organization should be given careful scrutiny and an endeavor made to stop unnecessary detailed reporting.

(3) Details should be confined to the level where decisions are made or responsibility placed. Each report should fit into a complete picture and should be a logical part of that picture. Reported information should follow the lines of delegated authority but should not flow to levels higher than those at which decisions are made on the basis of the information. Good administration includes delegating authority to make decisions at levels where actual operations are carried out; good reporting stops detailed information at those same levels. A report should contain only information which is necessary for the recipient; it should not contain everything the preparing activity needs to know for its actual operations. The employees whose activities are covered by a report should be the first to see the report. Reporting systems should be flexible to allow for improvements based on operations.

(4) The analyst should obtain a general knowledge of how the operator conducts his business and the aims of his programs. To determine proper level obtain accurate answers to the following questions:

(a) What is the reporting pattern of the requiring office? Does this report fit into that pattern?

(b) Do decisions made at this level require all of the information reported?

(c) Are program operations carried out at the same level where decisions are made?

(d) Would it expedite program operations to delegate to lower levels authority to make decisions?

(e) If decisions are made at the level which requires the report, but program operations are carried on at a lower level, can good decisions be made on the basis of this information? Would it improve quality of operations to delegate to the lower level authority to make decisions?

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(f) Does the information reported follow the pattern of authority to make decisions?

(g) Are copies of this report required by all points to which they are sent?

(h) Is this the BEST method of reporting?

At this point the analyst should be prepared to make recommendations concerning (a) the proper level to which information should be reported, and (b) the necessary distribution of copies. Each copy of the report should be accounted for, making every effort to eliminate the possibility of duplicate files. Elimination may be made at some levels. The analyst may also be able to make recommendations for delegating authority either to speed up program operations or to improve the quality of those operations.

e. Determining Other Essentials of a Good Reporting Requirement

(1) Reporting Frequency - The reporting frequency must be consistent with the frequency with which the information is used. More frequent reporting is not justifiable. Furthermore, the frequency between each report should be of such length that significant changes are reflected. Programs on which information is reported often decelerate rapidly. Unless changed, the reporting frequency soon becomes unrealistic. Then too, the opposite may occur—the pace of a program is stepped up, or situations begin to happen so frequently that they should be summarized, rather than reported separately. Check a series of reports. What frequency is needed now; what is the trend?

(2) Due Date - The date a report is due in an office should, if possible, be one convenient to the reporting activity. End-of-month, end-of-quarter, and end-of-year reporting should be avoided if possible since reporting workloads are heaviest at these times. Moreover, due dates should be based on working days, not calendar days. Determine the number of times the preparing office was unable to meet the due date. Also, how many times did a due date disrupt office routine to the detriment of operations? Was overtime ever required to meet the date?

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(3) Report Format - A good report format should meet these criteria:

(a) Be simple in design, and standard for each preparing activity.

(b) Provide for transmitting the report without covering correspondence.

(c) Be arranged so that the report can be prepared from records normally maintained by the preparing activities, yet designed to permit the recipient to locate information readily and apply it to his needs.

One of the surest ways to meet these cirteria is to require that the report be submitted on an Agency form. Consider these additional advantages:

(a) Reports submitted on forms can be readily identified thus speeding their routing, processing, filing, and ultimate disposition (from a records retirement standpoint).

(b) Instructions for preparing and submitting the report can be placed on the form for ready reference.

However, the fact that a report presently is being submitted on an Agency form does not exclude its format from a re-appraisal. Requirements for information change. The format satisfactory yesterday may be inadequate today. For example:

(a) Is there sufficient space in each box for fill-in?

(b) Is the form printed on such heavy stock that the number of legible copies neededcannot be made at one typing?

(c) Are reports prepared in such volune that carbon interleaved snapout sets would be advantageous?

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(d) If copies are duplicated, do the masters (stencil, Ditto, multilith, etc.) contain the maximum amount of preprinted data?

(4) Report Directive - Requirements for reports should be established by clear and complete written directives. Good directives mean good reporting! Consider these points:

(a) PROVIDING A SINGLE SOURCE OF INSTRUCTIONS	Cancel all previous directives which required the report, incorporating necessary past instructions in the new directive as an aid to personnel preparing reports.
(b) PURPOSE AND USE	State clearly the purposes or uses of the data being collected. The Office which prepares the report needs to know the purposes and uses to (1) assure that the data reported will accomplish the objectives intended, and (2) make more accurate decisions in doubtful cases.
(c) REPORT TITLE	Indicate the correct title of the report for later identification. Titles should be descriptive of contents.
(d) DUE DATE OF REPORT	Specify the date on which the report is to arrive at its destination. For situation reports, specify how soon the report must be received after occurrence of the event. Establish a due date for a recurring report which allows the reporting workload to be more evenly distributed by the offices preparing and receiving the report.

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(e)	PERIOD OR SITUATION COVERED	Specify the period of time, 'as of' date, or precise situation to be covered by the report. If data from several different reports are to be correlated, assure that the periods covered in these reports are comparable.
(f)	FIRST SUBMISSION OF THE REPORT	Specify when the requirement becomes effective, such as the date that the first recurring report is to be received, or the first period to be covered.
(g)	TERMINATION OF REPORT	For a temporary report, specify exactly when it is to be discontinued.
(h)	PREPARING ACTIVITIES	State specifically the types of activities which are to prepare the report.
(i)	DISTRIBUTION	Specify the number of copies to be prepared. Specify where each copy is to be sent.
(j)	FORMAT (IF NO FORM IS PROVIDED)	Specify the format for the items to be reported to (1) help insure uniformity in data reported and (2) simplify the transcription, comparison, evaluation, or other use of the data, when it is received.
(k)	USE OF FORM	Be sure the form includes information on where the report is to be forwarded, and from

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whom it is sent ('from' and 'to' information), in order to avoid use of separate transmittal correspondence. Request offices not to submit covering transmittal correspondence with reports prepared on forms.

Specify where preparing offices are to secure supplies of the form, and the requisitioning procedure.

(l) SOURCE OF DATA

Specify the source from which the information is to be obtained to (1) assist the preparing office in easy compilation, and (2) insure comparable data from all activities.

(m) PROCEDURES FOR COMPILING

Specify recommended procedures for obtaining and compiling the data. This will (1) aid preparing offices to use the best methods, and (2) insure accuracy and consistency of the report.

(n) WORDING

Give clear instructions on each item to be reported. Use simple active or imperative verbs (as 'Enter the total cost...'). Give only one instruction in a single sentence. Keep the sentence concise. Be sure that the instructions can be interpreted in only one way.

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(5) Need for Copies - A positive as well as a negative approach must be taken in determining the need. For instance, assure that all who have an interest in the report are receiving sufficient copies. But do the recipients have any recommendations for improving the report. On the other hand, copies of reports are costly. They increase the volume of records our Agency must handle, store, and dispose of. They slow down report preparation procedures. One extra copy can double typing and proofreading time if that copy makes two typing runs necessary. Therefore, check to make sure that every copy provided is serving a useful purpose. Ask recipients:

(a) Do they wish to remain on distribution?

(b) Can they obtain similar data from another source?

(c) Is all the data utilized? If not, which can be eliminated?

Consider the cost of each copy. Count your copies; make your copies count!

f. Determining Preparation and Submission Methods - Methods of preparing and submitting reports are almost as varied as there are types of reports. However, here are a few pointers having general application.

(1) Are files and other records arranged in such a manner that data can be readily extracted?

(2) Do fiscal and other accounting records contain control totals so that the accuracy of detailed data can be checked?

(3) Can fiscal and other accounting data be maintained on a cumulative basis to eliminate last minute workloads?

(4) For historical, progress, and other documentary-type reporting, is a brief running account of significant events and accomplishments maintained to avoid trying to "think back" over the period?

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(5) Do graphs and charts reflect cumulative data? That is, is information added to the same reproducible master each reporting period?

(6) Do reproduction masters (Ditto, multilith, stencil, etc.) contain the maximum amount of preprinted data.

(7) Can data be recorded for photographic reporting, e.g., maintained currently on flex-o-line strips, "mem boards," or production control boards?

(8) Can machine tabulation procedures be used?

(9) Are reports that are self explanatory forwarded without transmittal correspondence? Reports are considered self explanatory if submitted on forms containing spaces for 'To,' 'From,' and the signature of the signing official.

g. Comparing the Value of Reports with the Cost of Compiling Them

(1) This area of analysis is necessarily a long-range part of the program, because it involves a detailed study of source records and the procedures for compiling, submitting, and summarizing required reports. In some instances, information is obtained for a report from source records which must be maintained whether or not a report is prepared. In other instances, it is necessary to establish source records and procedures solely for the purpose of compiling a report. Requiring offices may or may not have prescribed the types of source records or procedures. In some instances the manpower required to maintain source records for one report will vary widely between activities.

(2) To make a thorough cost analysis, the analyst should obtain as exact figures as possible by:

(a) Obtaining detailed information from selected preparing activities or offices.

(b) Using established figures for the costs of handling forms and maintaining files.

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(c) Investigating use of the report in the requiring office and the time spent in all phases of subsequent report handling such as reviewing and analysing.

(3) To determine costs and to prepare presentation of cost factors, the following questions must be accurately answered:

(a) What records are required at preparing levels solely for the preparation of this report? What do they cost in man hours? What are equipment costs?

(b) What feeder reports are required? What do they cost in man hours?

(c) What records are required at receiving levels solely to process the report? What do they cost in man hours? What are equipment costs?

(d) How many man hours are required for actual preparation, including posting to worksheets, compiling, typing, proofing, and reviewing?

(e) How many man hours are required for analysis by those who receive reports, and for compiling data from these reports?

(f) What are stowage and handling costs for each copy, and printing costs for the report forms used?

(g) Does the established overall need for the report and its use justify the cost?

Section F. PLANNING AND DEVELOPING NEW REPORTING SYSTEMS

1. Responsibility of Reports Management Personnel. To be of maximum service to the operating officials, reports management personnel are

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are responsible for assisting them in developing reporting systems which provide effective management control over their operations. This responsibility involves:

a. Encouraging them to establish reporting systems to provide necessary controls.

b. Consulting with them on the data they need.

c. Working out details of reporting systems, including the design of records and procedures and the development of instructions and directives.

d. Educating personnel in the use of reported data, the records, and procedures.

e. Evaluating reporting systems periodically to determine if they should be revised to conform with changing needs.

2. Management Controls Defined. Management controls provide information for the efficient coordination of men, money, and materials according to a plan. This information is in terms of precisely defined objectives, quantities, cost limits, and time schedules. Management controls may be divided into two classes:

a. Control of Program.

(1) Relevance of programs in meeting needs for which the organization was established.

(2) Effectiveness of programs.

(3) Progress of programs.

b. Control of Operating Performance.

(1) Whether the organization is currently performing in a way which assures program realization within satisfactory limits of cost and quality, and within established time schedules.

(2) Availability of resources and facilities.

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3. Essential Features and Characteristics of an Effective System of Control. The most popular form of control is the use of accounting, statistical, and narrative reports. Since management situations are made up of variable elements, there is no solution to apply to all of them. There are, however, these criteria of a control system which should be considered in developing or evaluating a reporting system:

a. It must be possible to associate conditions with people responsible for them.

b. Procedures to obtain, organize, and distribute information must be written, standard, and specific.

(1) The source of the information and method of obtaining it must be specified.

(2) The information itself must be defined.

(3) Methods to record and distribute the information relating it to other data must be described in detail.

(4) Time schedules for each part of the control procedure must be established.

c. There must be adequate provision for verifying the accuracy of the information used for control purposes.

d. The system must be centrally administered and coordinated.

e. The system must be economical of manpower, equipment and materials.

f. The system must not be permitted to delay the work of the organization.

g. There should be an adequate organization for interpreting the information, investigating irregular or unexplained changes in performance.

h. There must be a basis for comparing the information in order to interpret it properly. These comparisons may be:

(1) Between current performance of two or more similar but independent operations.

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(2) Between current performance of two or more individuals who are performing the same type of work.

(3) Between the current performance of an organization or individual and the performance of the same organization or individual during past period.

(4) Between actual performance and formal program or operating objectives.

(5) Between actual performance and management's unstated or informal desires, or beliefs as to what the performance should be.

(6) Between actual performance and specific standards of performance set either arbitrarily, on the basis of past performance, or after analysis to determine what the performance should be.

i. Information must be made available while it is still current enough for use.

j. The information should be obtained on a continuous basis as long as it has control significance.

k. The system should be sufficiently flexible to allow reasonable tolerance for human imperfections and errors within the system.

l. Control information should be organized to fit the requirements of the people who will use it at various levels of the organization.

m. There must be adequate provision for constant adjustment of the system to fit changes in the management situation.

Section G. DISSEMINATING PROGRAM INFORMATION

1. Publishing Lists of Reports

a. Published lists of reports serve two main purposes: (1) They

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prevent the creation of additional reports by publicising existing sources of information, and (2) they serve as ready references to ensure the prompt and proper submission of reports.

b. Each Reports Management Officer is responsible for publishing lists of approved requirements for internal reports. Lists of external reports will be published by Management Advisors for Reports. Lists should furnish the following information on each report:

(1) Title of the Report.

(2) Reports Control Symbol.

(3) Frequency of submission and date report is due.

(4) Form number or format.

(5) Requiring directives.

(6) Distribution of the original and copies.

(7) Components or activities required to prepare the report.

c. The order of listing reports depends on the number of reports and the uses made of the list. Lists may be arranged according to:

(1) Reporting frequencies, to ensure that reports are submitted promptly.

(2) Subject categories, to group together those reports in the same general subject area, i.e., accounting, communications, personnel, etc.

(3) Preparing offices, to furnish them with a ready reference to their reporting workload, and to ensure prompt submission of reports.

(4) Report titles (arranged alphabetically).

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Lists may also be arranged according to combinations of the above categories. Each list should be accompanied by a statement on the types of reports exempted from the area reports management program.

2. Reporting Results of the Program. The chief of a component having an area program will want periodic progress reports. Also the Management Advisors for Reports will need periodic information on program status to discharge their responsibilities for: (a) Evaluating and reporting progress to higher authority; (b) coordinating program objectives; (c) determining problem areas; and (d) abstracting items of special interest for dissemination to all Reports Management Officers. The frequency of progress reports will depend upon the amount of activity of each Reports Management Officer and the requirements of his respective Management Advisor for Reports. Progress reports should not cover a longer span than three months. A copy of each area program report submitted to the chief of a component should be furnished the appropriate Management Advisor for Reports. Each report should provide the following information:

a. Statistical summary of activity covering the elements listed in Section C, paragraph 5.

b. Narrative summary of activity covering:

(1) Planned Projects - A project is planned when it has been scheduled but not started. A planned project should be reported only once. The title of the project and a brief statement of its purpose and scope should be furnished. Include estimated beginning date, potential program benefits, and estimated man hours that will be required.

(2) Projects in Progress - A project is in progress from the time it is started until it is completed. Only those projects on which some action was taken during the reporting period should be reported.

(3) Completed Project - A project is complete when (1) recommendations are accepted and the new procedure has been installed, or (2) when recommendations are disapproved. A brief summary of the results obtained and the man hours expended should be given. It is recommended that exhibits be attached for major projects, which may be useful to other Reports Management Officers.

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(4) Problem Areas - Include program administration problems as well as reporting problems for which assistance is desired from the Management Advisor for Reports.

3. Disseminating Publicity. Each Reports Management Officer should be alert for ways to publicize reports management and the benefits being derived from his program. Posters, files, brochures, staff meeting presentations, and individual discussions should each be used for variety. The Incentive Awards Program should also be publicized as a means of submitting suggestions for improving reports. The Record Management Officer for Reports, Management Staff, will assist you in developing publicity projects.

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